

UTILITY
PATENT APPLICATION
TRANSMITTAL

(Only for new nonprovisional applications under 37 CFR 1.53(b))

Attorney Docket No.

CHM-019

First Inventor

Michael John Rutter

Title

ADJUSTABLE COLLAR AND RETAINER FOR
ENDOTRACHEAL TUBE

Express Mail Label No.

EL 966243458 US

APPLICATION ELEMENTS

See MPEP chapter 600 concerning utility patent application contents

ADDRESS TO:

Mail Stop Patent Application
Commissioner for Patents
P.O. Box 1450
Alexandria, VA 22313-1450

1. ☒ Fee Transmittal Form (e.g. PTO/SB/17)
(Submit an original and a duplicate for fee processing)
2. ☒ Applicant claims small entity status — See 37 CFR 1.27
3. ☒ Specification [Total Pages **12**]
(preferred arrangement set forth below)
- Descriptive Title of the Invention
 - Cross Reference to Related Applications
 - Statement Regarding Fed sponsored R&D
 - Reference to sequence listing, a table, or a computer program listing appendix
 - Background of the Invention
 - Brief Summary of the Invention
 - Brief Description of the Drawings (if filed)
 - Detailed Description
 - Claims
 - Abstract of the Disclosure
4. ☒ Drawing(s) (35 U.S.C. 113) [Total Sheets **6**]
5. ☒ Oath or Declaration [Total Pages **1**]
- a. ☒ Newly executed (original copy)
- b. ☐ Copy from a prior application (37 CFR 1.63 (d))
(for continuation/divisional with Box 18 Completed)
- i. ☐ **DELETION OF INVENTOR(S)** Signed
statement attached deleting inventor(s) named in the prior
application, see 37 CFR 1.63(d)(2) and 1.33(b).
6. ☐ Application Data Sheet (see 37 CFR 1.76)

7. ☐ CD-ROM or CD-R in duplicate, large table or
Computer Program (Appendix)
8. Nucleotide and/or Amino Acid Sequence Submission
(if applicable, all necessary)
- a. ☐ Computer Readable Form (CRF)
- b. ☐ Specification Sequence Listing on:
- i. ☐ CD-ROM or CD-R (2 copies); or
- ii. ☐ Paper
- c. ☐ Statements verifying identity of above copies

ACCOMPANYING APPLICATION PARTS

9. ☐ Assignment Papers (cover sheet & document(s))
10. ☐ 37 CFR 3.73(b) Statement (when there is an assignee)
☐ Power of Attorney
11. ☐ English Translation Document (if applicable)
12. ☐ Information Disclosure Statement (IDS/PTO-SB08 or SB-1449)
☐ Copies of IDS Citations
13. ☐ Preliminary Amendment
14. ☒ Return Receipt Postcard (MPEP 503)
(Should be specifically itemized)
15. ☐ Certified Copy of Priority Document(s)
(if foreign priority is claimed)
16. ☐ Nonpublication Request under 35 U.S.C. 122(b)(2)(B)(i).
Applicant must attach form PTO/SB/35 or its equivalent.
17. ☐ Other:

18. If a CONTINUING APPLICATION, check appropriate box, and supply the requisite information below and in a preliminary amendment, or in an Application Data Sheet under 37 CFR 1.76:

☐ Continuation ☐ Divisional ☐ Continuation-in-part (CIP) of prior application no.
Prior Application information: Examiner: Group Art Unit:

For CONTINUATION OR DIVISIONAL APPS only: The entire disclosure of the prior application, from which an oath or declaration is supplied under Box 5b, is considered a part of the disclosure of the accompanying continuation or divisional application and is hereby incorporated by reference. The incorporation can only be relied upon when a portion has been inadvertently omitted from the submitted application parts.

19. CORRESPONDENCE ADDRESS

☒ Customer Number or Bar Code Label

38155

(insert Customer Number or attach bar code label here)

Name (print/type)

Donald E. Hasse

Registration No. (Attorney/Agent)

29,387

Signature

Donald E. Hasse

Date

12/18/03

121803

16152 U.S. PTO

FEE TRANSMITTAL

(Patent Fees are subject to annual revision)

☒ Applicant claims small entity status. (See 37 CFR 1.27)

TOTAL AMOUNT OF PAYMENT

\$385.00

METHOD OF PAYMENT (check all that apply)☐ Check ☒ Credit Card ☐ Money Order ☐ Other ☐ None☐ Deposit Account:Deposit Account Number Deposit Account Name

The Commissioner is authorized to: (check all that apply)

☒ Charge fee(s) indicated below ☒ Credit any overpayments☐ Charge any additional fee(s) during the pendency of this application☐ Charge fee(s) indicated below, except for the filing fee to the above identified deposit account**FEE CALCULATION****1. BASIC FILING FEE**

Large Entity Small Entity

Fee Code	Fee Description	Fee Paid
1001 2001	Utility filing fee	385.00
1002 2002	Design filing fee	.00
1003 2003	Plant filing fee	.00
1004 2004	Reissue filing fee	.00
1005 2005	Provisional filing fee	.00

Subtotal (1) (\$ 385.00)**2. EXTRA CLAIM FEES FOR UTILITY AND REISSUE**

Total Claims	Extra Claims	Fee from Below	Fee Paid
20 - 20** = 0	X		0.00
3 - 3** = 0	X		0.00
Multiple Claims			0.00

Large Entity Small Entity

Fee Code	Fee Description
1202 2202	Claims in excess of 20
1201 2201	Independent claims in excess of 3
1203 2203	Multiple dependent claim, if not paid
1204 2204	**Reissue independent claims over original patent
1205 2205	**Reissue claims in excess of 20 and over original patent

Subtotal (2) (\$ 0.00)

** or number previously paid, if greater; For Reissues, see above

Complete if Known

Application Number

Filing Date

First Named Inventor

Michael John Rutter

Examiner Name

Art Unit

Attorney Docket No.

CHM-019

FEE CALCULATION (continued)**3. ADDITIONAL FEES**

Large Small

Entity Entity

Fee Codes

Fee Description

Paid

1051 2051	Surcharge - late filing fee or oath	<input type="checkbox"/>
1052 2052	Surcharge - late provisional filing fee or cover sheet	<input type="checkbox"/>
1053 1053	Non-English specification	<input type="checkbox"/>
1812 1812	Filing a request for ex parte reexamination	<input type="checkbox"/>
1804 1804	* Requesting publication of SIR prior to Examiner action	<input type="checkbox"/>
1805 1805	Requesting publication of SIR after Examiner action	<input type="checkbox"/>
1251 2251	Extension for reply within first month	<input type="checkbox"/>
1252 2252	Extension for reply within second month	<input type="checkbox"/>
1253 2253	Extension for reply within third month	<input type="checkbox"/>
1254 2254	Extension for reply within fourth month	<input type="checkbox"/>
1255 2255	Extension for reply within fifth month	<input type="checkbox"/>
1401 2401	Notice of Appeal	<input type="checkbox"/>
1402 2402	Filing a brief in support of an appeal	<input type="checkbox"/>
1403 2403	Request for oral hearing	<input type="checkbox"/>
1451 1451	Petition to institute a public use proceeding	<input type="checkbox"/>
1452 2452	Petition to revive - unavoidable	<input type="checkbox"/>
1453 2453	Petition to revive - unintentional	<input type="checkbox"/>
1501 2501	Utility issue fee (or reissue)	<input type="checkbox"/>
1502 2502	Design issue fee	<input type="checkbox"/>
1503 2503	Plant issue fee	<input type="checkbox"/>
1460 1460	Petitions to the Commissioner	<input type="checkbox"/>
1807 1807	Processing fee under 37 CFR 1.17(q)	<input type="checkbox"/>
1806 1806	Submission of Inform. Discl. Statement	<input type="checkbox"/>
8021 8021	Recording each patent assignment	<input type="checkbox"/>
1809 2809	Filing a submission after final rejection (37 CFR 1.29(a))	<input type="checkbox"/>
1810 2810	For each additional invention to be examined (37 CFR 1.129(b))	<input type="checkbox"/>
1801 2801	Request for Continued Examination (RCE)	<input type="checkbox"/>
1802 1802	Request for expedited examination of a design application	<input type="checkbox"/>

Other fee (specify) _____

*Reduced by Basic Filing Fee Paid

Subtotal (3) (\$ 0.00)**SUBMITTED BY**

Complete (if applicable)

Name (print/type)

Donald E. Hasse

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29,387

Telephone

513-229-0383

Signature

Donald E. Hasse

Date

12/18/03